

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Post Office as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on

Date: September 25, 2001

Name: Lisa M. Davis

Signature:

Lisa M. Davis
Clifford Chance Rogers & Wells LLP

Docket No. 3499-76

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Andrew J.R. Smith et al.

Filed: May 31, 2001 Group Art Unit: 2161

Serial No: 09/871,427 Examiner: TBA

For: METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL
DATA STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED
AND VALIDATED PRODUCT OFFERING OBJECTS

RESPONSE TO NOTICE TO FILE MISSING PARTS

Commissioner for Patents
BOX: MISSING PARTS
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts (copy enclosed) dated August 14, 2001 received for the above identified application, enclosed please find the following:

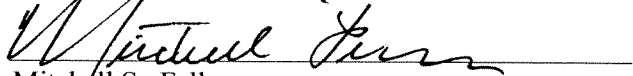
1. ☒ Executed Declaration and Power of Attorney
☐ Copy of Executed Declaration and Power of attorney from a prior application
2. ☒ Substitute Formal Drawings

Please make the Declaration and Power of Attorney of record in the above-identified application.

The Commissioner is hereby authorized to charge the late submission surcharge of \$130.00 and any additional fee, or credit any overpayment to Deposit Account No. 50-0521. A duplicate copy of this transmittal is enclosed.

Date: September 25, 2001

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Mitchell S. Feller", is written over a horizontal line.

Mitchell S. Feller

Reg. No. 42,530

Clifford Chance Rogers & Wells LLP
200 Park Avenue
New York, NY 10166-0153
Telephone: (212) 878-8545

DECLARATION AND POWER OF ATTORNEY

As a below named inventor(s), I/We hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA
STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND
VALIDATED PRODUCT OFFERING OBJECTS**

the specification of which (check one) is:

☐ attached hereto

☒ was filed on May 31, 2001
as Application Serial No. 09/871,427
and amended on _____ (if applicable).

☐ was described and claimed in PCT Application No.
filed on _____ and amended under Article 19 on _____

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulation, § 1.56.

I hereby claim priority benefits under Title 35, United States Code § 119 of any application(s) for patent or inventor's certificate listed below and have also identified below any application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Application(s)

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed</u> <u>(Y/N)</u>
60/223,397	United States	August 4, 2000	N
60/227,162	United States	August 22, 2000	N

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Serial Number</u>	<u>Filing Date</u>	<u>Status</u>
----------------------	--------------------	---------------

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint:

John E. Kidd	Reg. No. 19,916	Gerard P. Norton	Reg. No. 36,621
Victor Siber	Reg. No. 25,149	John T. Johnson	Reg. No. 37,363
Margaret B. Kelley	Reg. No. 29,181	Frank C. Cimino	Reg. No. 39,945
Philip E. Roux	Reg. No. 31,295	Nada Jain	Reg. No. 41,431
Michael J. Pantuliano	Reg. No. 18,971	Mitchell S. Feller	Reg. No. 42,530
Joseph P. Kincart	Reg. No. 43,716	David F. Ries	Reg. No. 43,046
James V. Mahon	Reg. No. 41,966	Anne M. Coughlin	Reg. No. 43,564
Joseph Levi	Reg. No. 41,152	Ira J. Schaefer	Reg. No. 26,802
Victor J. Geraci	Reg. No. 38,157	Steven J. Lever	Reg. No. 46,871
C. Joseph Laughon, II	Reg. No. 31,389	Drew M. Wintringham	Reg. No. 31,894
Leora Ben-Ami	Reg. No. 32,455	Ernest Yakob	Reg. No. 45,893
Robert D. Schaffer	Reg. No. 33,775	Russell DeClerk	Reg. No. 46,364
Michael M. O'Shea	Reg. No. 35,631	Mark Rueh	Reg. No. 43,896
Joel N. Bock	Reg. No. 36,456		

all of the firm of Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, New York 10166-0153, my attorney with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

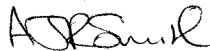
Address all communications to:

Mitchell S. Feller, Esq.
Clifford Chance Rogers & Wells LLP
200 Park Avenue, New York, NY 10166
(212) 878-8545

Wherefore I request that Letters Patent be granted to me for the invention or discovery described and claimed in the foregoing specification and claims, and I hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition.

Full name of sole or inventor # 1 Andrew J.R. Smith

Inventor's signature



Date 28 Aug 2001

Residence 77 Bleecker Street, Apt. 709, New York, NY 10012

Citizenship United Kingdom

Post Office Address 77 Bleecker Street, Apt. 709, New York, NY 10012

DECLARATION AND POWER OF ATTORNEY

As a below named inventor(s), I/We hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA
STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND
VALIDATED PRODUCT OFFERING OBJECTS

the specification of which (check one) is:

☐ attached hereto

☒ was filed on May 31, 2001
as Application Serial No. 09/871,427
and amended on _____ (if applicable).

☐ was described and claimed in PCT Application No.
filed on _____ and amended under Article 19 on _____

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulation, § 1.56.

I hereby claim priority benefits under Title 35, United States Code § 119 of any application(s) for patent or inventor's certificate listed below and have also identified below any application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Application(s)

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed</u> <u>(Y/N)</u>
60/223,397	United States	August 4, 2000	N
60/227,162	United States	August 22, 2000	N

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Serial Number</u>	<u>Filing Date</u>	<u>Status</u>
----------------------	--------------------	---------------

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint:

John E. Kidd	Reg. No. 19,916	Gerard P. Norton	Reg. No. 36,621
Victor Siber	Reg. No. 25,149	John T. Johnson	Reg. No. 37,363
Margaret B. Kelley	Reg. No. 29,181	Frank C. Cimino	Reg. No. 39,945
Philip E. Roux	Reg. No. 31,295	Nada Jain	Reg. No. 41,431
Michael J. Pantuliano	Reg. No. 18,971	Mitchell S. Feller	Reg. No. 42,530
Joseph P. Kincart	Reg. No. 43,716	David F. Ries	Reg. No. 43,046
James V. Mahon	Reg. No. 41,966	Anne M. Coughlin	Reg. No. 43,564
Joseph Levi	Reg. No. 41,152	Ira J. Schaefer	Reg. No. 26,802
Victor J. Geraci	Reg. No. 38,157	Steven J. Lever	Reg. No. 46,871
C. Joseph Laughon, II	Reg. No. 31,389	Drew M. Wintringham	Reg. No. 31,894
Leora Ben-Ami	Reg. No. 32,455	Ernest Yakob	Reg. No. 45,893
Robert D. Schaffer	Reg. No. 33,775	Russell DeClerk	Reg. No. 46,364
Michael M. O'Shea	Reg. No. 35,631	Mark Rueh	Reg. No. 43,896
Joel N. Bock	Reg. No. 36,456		

all of the firm of Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, New York 10166-0153, my attorney with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all communications to:

Mitchell S. Feller, Esq.
Clifford Chance Rogers & Wells LLP
200 Park Avenue, New York, NY 10166
(212) 878-8545

Wherefore I request that Letters Patent be granted to me for the invention or discovery described and claimed in the foregoing specification and claims, and I hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition.

Full name of sole or inventor # 1 Andrew J.R. Smith

Inventor's signature

Date

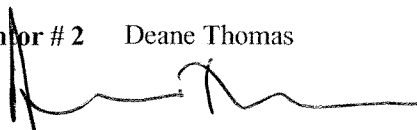
Residence 77 Bleecker Street, Apt. 709, New York, NY 10012

Citizenship United Kingdom

Post Office Address 77 Bleecker Street, Apt. 709, New York, NY 10012

Full name of sole or inventor # 2 Deane Thomas

Inventor's signature



Date

9/21/01

Residence 308 W. 48th Street, New York, NY 10036

Citizenship United States

Post Office Address 308 W. 48th Street, New York, NY 10036

Full name of sole or inventor # 3 Randy Cowan

Inventor's signature

Date

Residence 200 W. 86th Street, New York, NY 10024

Citizenship United States

Post Office Address 200 W. 86th Street, New York, NY 10024

DECLARATION AND POWER OF ATTORNEY

As a below named inventor(s), I/We hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**METHOD AND SYSTEM FOR PROCESSING RAW FINANCIAL DATA
STREAMS TO PRODUCE AND DISTRIBUTE STRUCTURED AND
VALIDATED PRODUCT OFFERING OBJECTS**

the specification of which (check one) is:

☐ attached hereto

☒ was filed on May 31, 2001
as Application Serial No. 09/871,427
and amended on _____ (if applicable).

☐ was described and claimed in PCT Application No.
filed on _____ and amended under Article 19 on _____

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose all information I know to be material to patentability in accordance with Title 37, Code of Federal Regulation, § 1.56.

I hereby claim priority benefits under Title 35, United States Code § 119 of any application(s) for patent or inventor's certificate listed below and have also identified below any application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

Prior Application(s)

<u>Serial Number</u>	<u>Country</u>	<u>Filing Date</u>	<u>Priority Claimed</u> (Y/N)
60/223,397	United States	August 4, 2000	N
60/227,162	United States	August 22, 2000	N

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>Serial Number</u>	<u>Filing Date</u>	<u>Status</u>
----------------------	--------------------	---------------

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

And I hereby appoint:

John E. Kidd	Reg. No. 19,916	Gerard P. Norton	Reg. No. 36,621
Victor Siber	Reg. No. 25,149	John T. Johnson	Reg. No. 37,363
Margaret B. Kelley	Reg. No. 29,181	Frank C. Cimino	Reg. No. 39,945
Philip E. Roux	Reg. No. 31,295	Nada Jain	Reg. No. 41,431
Michael J. Pantuliano	Reg. No. 18,971	Mitchell S. Feller	Reg. No. 42,530
Joseph P. Kincart	Reg. No. 43,716	David F. Ries	Reg. No. 43,046
James V. Mahon	Reg. No. 41,966	Anne M. Coughlin	Reg. No. 43,564
Joseph Levi	Reg. No. 41,152	Ira J. Schaefer	Reg. No. 26,802
Victor J. Geraci	Reg. No. 38,157	Steven J. Lever	Reg. No. 46,871
C. Joseph Laughon, II	Reg. No. 31,389	Drew M. Wintringham	Reg. No. 31,894
Leora Ben-Ami	Reg. No. 32,455	Ernest Yakob	Reg. No. 45,893
Robert D. Schaffer	Reg. No. 33,775	Russell DeClerk	Reg. No. 46,364
Michael M. O'Shea	Reg. No. 35,631	Mark Rueh	Reg. No. 43,896
Joel N. Bock	Reg. No. 36,456		

all of the firm of Clifford Chance Rogers & Wells LLP, 200 Park Avenue, New York, New York 10166-0153, my attorney with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Address all communications to:

Mitchell S. Feller, Esq.
Clifford Chance Rogers & Wells LLP
200 Park Avenue, New York, NY 10166
(212) 878-8545

Wherefore I request that Letters Patent be granted to me for the invention or discovery described and claimed in the foregoing specification and claims, and I hereby subscribe my name to the foregoing specification and claims, declaration, power of attorney, and this petition.

Full name of sole or inventor # 1 Andrew J.R. Smith

Inventor's signature

Date

Residence 77 Bleecker Street, Apt. 709, New York, NY 10012

Citizenship United Kingdom

Post Office Address 77 Bleecker Street, Apt. 709, New York, NY 10012

Full name of sole or inventor # 2 Deane Thomas

Inventor's signature

Date

Residence 308 W. 48th Street, New York, NY 10036

Citizenship United States

Post Office Address 308 W. 48th Street, New York, NY 10036

Full name of sole or inventor # 3 Randy Cowan

Inventor's signature

Date

Residence 200 W. 86th Street, New York, NY 10024

Citizenship United States

Post Office Address 200 W. 86th Street, New York, NY 10024

9/21/01